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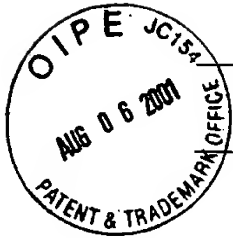
Name of applicant, assignee or
Registered Representative

Gregory M. Zinkl

Signature

8/1/01

Date of Signature



Case No. 10716/57

Genentech and CuraGen Nos. 1885R1 and CURA-233

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Pennica et al.

Serial No.: 09/816,653

Filed: March 23, 2001

For: NOVEL HUMAN STRA6-
LIKE PROTEIN AND
NUCLEIC ACIDS
ENCODING THE SAME

Attention: Manager,
Application Branch

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION
FILING DATE GRANTED**

Commissioner for Patents
Washington, D.C. 20231

Attn.: Box Missing Parts

Dear Sir:

In accordance with the Notice to File Missing Parts of Application Filing Date Granted dated June 25, 2001, a copy of which is attached, enclosed herewith for filing are the following documents:

☒ Fully executed Declaration for Patent Application and Power of Attorney for the above-referenced patent application.

☒ Applicant is:

☐ a small entity, verified statement is:

☐ attached

☐ already filed

☒ other than small entity

☒ Checks totaling \$1670.00 for:

☒ Filing Fee of \$710.00.

☒ Surcharge of \$130.00.

☒ Additional Claim Fees of \$830.00.

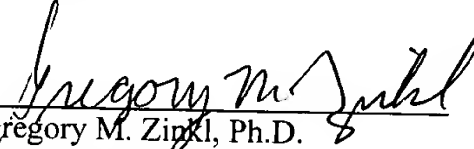
☐ Petition for Extension of Time (37 C.F.R. § 1.136(a)) to file missing parts (in duplicate).

☒ Other: Sequence Listing.

☒ The Commissioner is hereby authorized to charge any deficiencies in fees or credit overpayment to Deposit Account No. 23-1925. A duplicate copy of this paper is enclosed.

Respectfully submitted,

Dated: 8/1/01


Gregory M. Zinkl, Ph.D.
Registration No. P-48,492
Attorney for Applicant(s)

BRINKS HOFER GILSON & LIONE
P.O. BOX 10395
CHICAGO, IL 60610
(312)321-4200



SEC for
\$
Box SEC

TRANSMITTAL LETTER			Case No. 10716/57
Serial No. 09/816,633	Filing Date March 23, 2001	Examiner Unknown	Group Art Unit 1641
Inventor(s) Pennica et al.			
Title of Invention NOVEL HUMAN STRA6-LIKE PROTEIN AND NUCLEIC ACIDS ENCODING SAME			

TO THE COMMISSIONER FOR PATENTS

Transmitted herewith is a Response to Notice to File Missing Parts of Application; Declaration; Power of Attorney; copy of Notice to File Missing Parts of Application; Sequence Listing; Change of Correspondence Address and Change of Attorney Docket Number; check in the amount of \$1670.00 and return postcard.

- ☐ Small entity status of this application under 37 CFR § 1.27 has been established by verified statement previously submitted.
- ☐ A verified statement to establish small entity status under 37 CFR §§ 1.9 and 1.27 is enclosed.
- ☐ Petition for a _____ month extension of time.
- ☐ No additional fee is required.
- ☐ The fee has been calculated as shown below:

	Claims Remaining After Amendment		Highest No. Previously Paid For	Present Extra
Total		Minus		
Indep.		Minus		
First Presentation of Multiple Dep. Claim				

Small Entity

Rate	Add'l Fee
x \$9=	
x 40=	
+\$135=	
Total add'l fee	\$

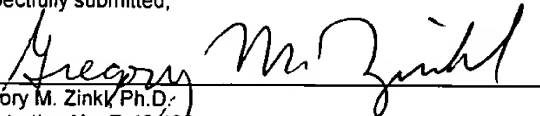
or

Other Than Small Entity

Rate	Add'l Fee
x \$18=	
x \$80=	
+\$270=	
Total add'l fee	\$

- ☐ Please charge Deposit Account No. 23-1925 (BRINKS HOFER GILSON & LIONE) in the amount of \$_____. A duplicate copy of this sheet is enclosed.
- ☒ A check in the amount of \$1670.00 to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this communication or credit any overpayment to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.
- ☒ I hereby petition under 37 CFR § 1.136(a) for any extension of time required to ensure that this paper is timely filed. Please charge any associated fees which have not otherwise been paid to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

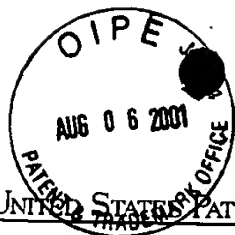

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I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on August 1, 2001.

Date: 8/1/01

Signature: 



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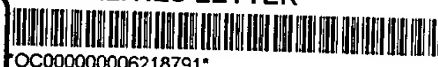
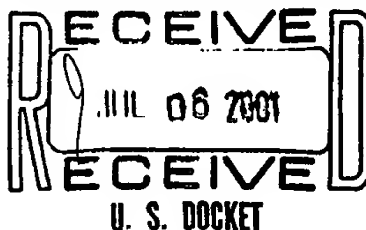
APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/816,653	03/23/2001	Luca Rastelli	10716/57

PAUL RAUCH
1517 CORCORAN ST., N.W.
WASHINGTON, DC 20009

BRINKS HOFER GILSON & LIONE

CONFIRMATION NO. 6857

FORMALITIES LETTER



Date Mailed: 06/25/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$830.
 - \$270 for 15 total claims over 20.
 - \$560 for 7 independent claims over 3.
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1670.
- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such

234.00 OP
560.00 OP
130.00 OP
746.00 OP

01 FC:103
02 FC:102
03 FC:105
04 FC:199


08/07/2001 RZERGRJ1 00000099 09816653

request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov

A copy of this notice MUST be returned with the reply.



Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY



**User Manual/Quick Reference Guide
for
Computer Readable Form/Checker Version 3.0**

June 27, 2000

Prepared for:
United States Patent and Trademark Office



Table of Contents

SECTION 1 INTRODUCTION	1-1
1.1 What is Computer Readable Form/Checker Version 3.0?	1-1
1.2 Conventions for this User Manual	1-1
SECTION 2 SYSTEM REQUIREMENTS AND CHECKER ACCESS.....	2-1
2.1 Checker System Requirements.....	2-1
2.2 Checker Access	2-1
SECTION 3 CHECKER VERSION 3.0	3-1
3.1 Checker Welcome Window	3-1
3.2 Checker Main Menu Window	3-2
3.2.1 Checker Edit File Button.....	3-3
3.2.2 Checker Process File Button	3-4
3.2.3 Checker View Errors Button	3-5
3.2.4 Checker Help Button	3-5
3.2.5 Checker Exit Button.....	3-6
APPENDIX A LIST OF ACRONYMS.....	A-1
APPENDIX B ERROR MESSAGES.....	B-1

List of Figures

Figure 3-1 Checker Welcome Window.....	3-1
Figure 3-2 Checker Main Menu Window	3-2
Figure 3-3 Checker Edit File Open Dialog Box.....	3-3
Figure 3-4 Checker Edit File Opened in Workpad.....	3-4
Figure 3-5 Checker Process File Open Dialog Box	3-4
Figure 3-6 Checker Progress Bar Dialog Box	3-5
Figure 3-7 Checker There Are Errors in Your File Dialog Box.....	3-5
Figure 3-8 Checker Online Help Menu	3-6

List of Tables

Table 1-1 Manual Conventions.....	1-1
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SECTION 1 INTRODUCTION

1.1 What is Computer Readable Form/Checker Version 3.0?

The Computer Readable Form/Checker Version 3.0 application is a state-of-the-art Windows-based software program employing a logical and intuitive user-interface to validate and convert patent applications compliant with 37 C.F.R. 1.821 – 1.825 for both “old rules” (October 1990) and “new rules” (July 1998). CRF/Checker replaces the previous DOS-based versions of CRF and Checker, and is Y2K-compliant.











Computer Readable Form is a patent application receipt system developed by USPTO that reads, verifies, and validates electronic submission data from patent applicants. Submitted sequence listings are incorporated into the Automated Biotechnology Sequence Search (ABSS) database of pending application files.

Checker allows public users to check sequence listings before submitting them to the United States Patent and Trademark Office (USPTO).

1.2 Conventions for this User Manual

Consistent visual cues and standard keyboard operations are used throughout this manual. These conventions are listed in Table 1-1.

Table 1-1 Manual Conventions

Notation	Represents	Example
	Process the command with a mouse action.	 Select Open from the file menu.
	Process the command with the keyboard.	 Enter changes into the Edit field.
Bold type	Name of a function, file, menu item, or programming construct.	 Click on Exit .
	An informative message to the user.	 NOTE: <i>You cannot access the Checker menu bar unless you close the Checker Main menu by X clicking on the Exit button.</i>
	Caution messages to alert the user to a potential error condition.	 <i>You can not view the File Processing - Queue window if the Process File window is open. You must  click on the Cancel button to close the Process File window, and then check the queue.</i>

SECTION 2 SYSTEM REQUIREMENTS AND CHECKER ACCESS


2.1 Checker System Requirements

Checker installation initially occupies about 5 megabytes of disk space after the download file (Checker.zip) is expanded. The user must estimate the size of input files to be processed and allow 50% additional space for Checker report files.

The minimum recommended memory requirement for the Checker Version 3.0 public customer workstation is:

- 64 MB RAM
- Cache space, which may expand depending on the file size.


2.2 Checker Access

- To access Checker,  click on the **Checker** icon on your desktop.

SECTION 3 CHECKER VERSION 3.0

3.1 Checker Welcome Window

When you open the Checker application, the **Welcome** window is displayed. This window identifies the application and displays the copyright information for the software.

Click on the  button to work in the Checker application.

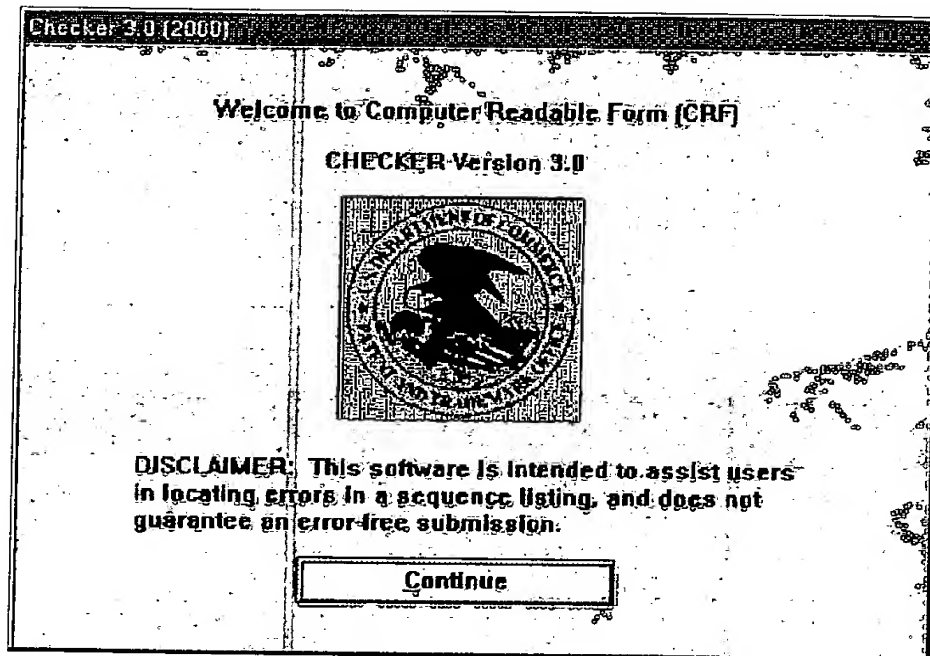


Figure 3-1 Checker Welcome Window

3.2 Checker Main Menu Window

When you open the Checker application, the Checker **Main Menu** window, shown in Figure 3-2, is automatically displayed.

The Checker **Main Menu** includes five buttons:

- **Edit File**
- **Process File**
- **View Errors**
- **Help**
- **Exit**

These buttons are discussed in more detail in Sections 3.2.1 through 3.2.5.

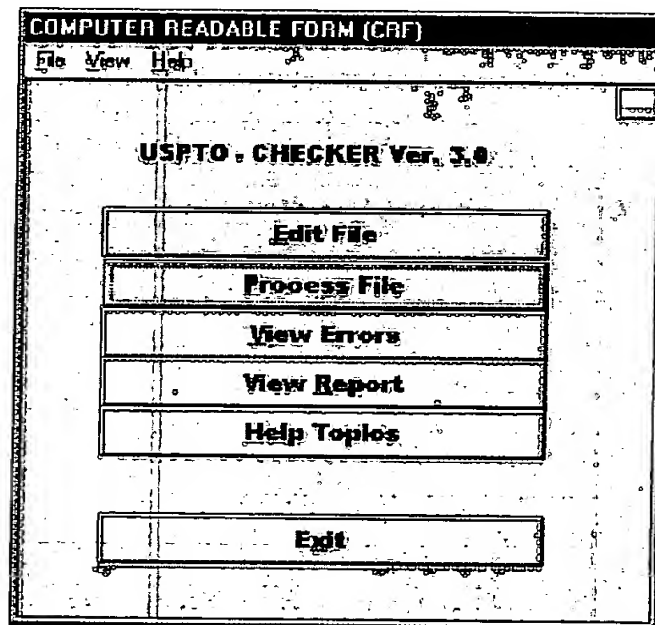


Figure 3-2 Checker Main Menu Window

3.2.1 Checker Edit File Button

To edit a file:

1. Click on the  button in the Checker Main Menu.

The **Open** dialog box is displayed.

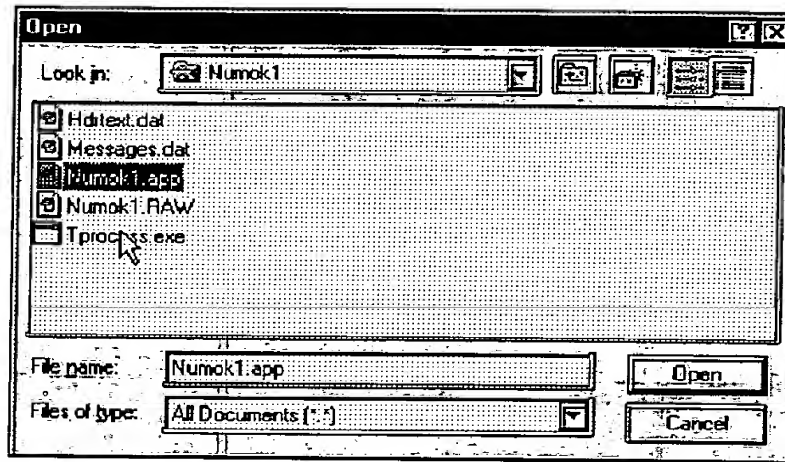



Figure 3-3 Checker Edit File Open Dialog Box

2. Click on file to be edited.
3. Click on the  button.

The **Progress Bar** dialog box is displayed.

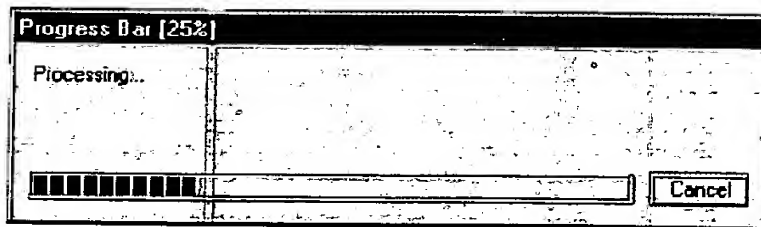



Figure 3-6 Checker Progress Bar Dialog Box

4. Click on the  button.

If there are errors in the file, the **There Are Errors in Your File** dialog box is displayed.

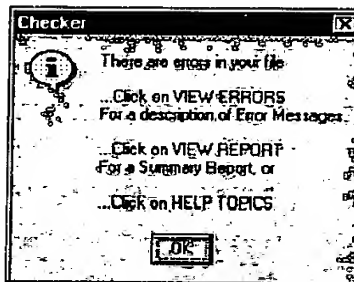




Figure 3-7 Checker There Are Errors in Your File Dialog Box

5. Click on the  button.

The **Checker Main Menu** is displayed.

6. To view the file errors, click on the  button in the **Checker Main Menu**. Please see Section 4.2.3 for more information on viewing errors.

3.2.3 Checker View Errors Button

To view errors:

- Click on the  button in the **Checker Main Menu**. The errors report is opened in Wordpad or the user's default editor.

3.2.4 Checker Help Button

To access the Checker online help menu:

- Click on the  button in the **Checker Main Menu**.

The Checker online help menu is displayed.

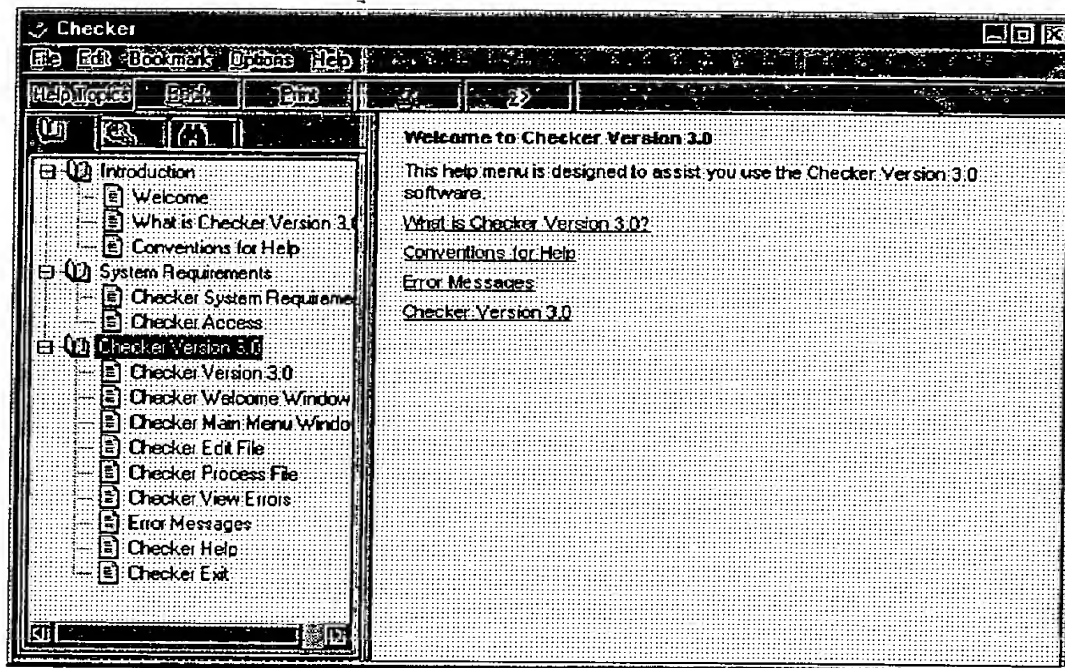


Figure 3-8 Checker Online Help Menu

3.2.5 Checker Exit Button

Click on the **Exit** button to exit the **Main Menu** and return to the main Checker application page. This allows you to utilize the Checker menu bar.

APPENDIX A · LIST OF ACRONYMS

ABSS	Automated Biotechnology Sequence Search
CRF	Computer Readable Format
MB	Megabytes
PC	Personal Computer
USPTO	United States Patent and Trademark Office

APPENDIX B ERROR MESSAGES

All possible error messages in the Checker software are included below.

The legend for error messages is:

C: Corrected text string(s)

E: Error as defined in 32 C.F.R 1.821 – 1.825 rules

S: System Errors

W: Warning as defined in 32 C.F.R 1.821 – 1.825 rules

<p><u>System Errors</u></p> <p>100 S: Failure opening input file</p> <p>101 S: Failure reading input file</p> <p>102 S: Failure writing output file</p> <p>103 S: Failure allocating memory</p>	<p><u>General Messages</u></p> <p>110 C: Removed Non-printable characters</p> <p>111 C: String data converted to upper case</p> <p>112 C: String data converted to lower case</p> <p>113 C: Missing blank line</p> <p>114 E: Unexpected end of input file</p>
<p><u>General Header Messages</u></p> <p>200 E: Mandatory header field missing</p> <p>201 E: Mandatory field data missing</p> <p>202 E: Value must be an Integer</p> <p>203 E: Calc# of Seq. differs from actual; <: Input (A), Counted (B)></p> <p>204 E: Calc# of Bases differs from actual; <: Input (A), Counted (B)></p> <p>205 E: Calc Length of Seq. Differs from actual; <: Input (A), Counted (B)></p> <p>210 E: Invalid Number of Sequences</p> <p>212 E: Invalid or duplicate Sequence ID Number</p>	<p><u>Alpha Header Messages</u></p> <p>220 C: Keyword misspelled</p> <p>222 E: Mandatory Keyword missing</p> <p>230 E: Invalid or missing General Information</p> <p>240 E: Invalid or missing Sequence Header field</p> <p>241 E: Invalid Alpha Header field</p> <p>242 E: Mandatory header field value missing</p> <p>243 E: Alpha header field expected</p> <p>244 E: Invalid beginning of sequence listing</p>

<p><u>General Header Messages</u> (continued)</p> <p>214 E: Seq.# missing; <: Seq.ID (A)></p> <p>216 E: Seq.#s missing; <: Seq.ID (A) thru (B)></p> <p>218 E: Input File vs. Calc Seq. Length differ; <: Input (A), Calc. (B)></p>	<p><u>Alpha Header Messages</u> (continued)</p> <p>245 E: Invalid value of Alpha General Header field</p> <p>246 E: Invalid value of Alpha Sequence Header field</p> <p>247 C: Inserted Optional Header Field</p> <p>248 E: Inserted missing Mandatory Header Field</p> <p>249 C: Inserted Mandatory Field</p>
<p><u>Numeric Header Messages</u></p> <p>250 E: Invalid Numeric Identifier</p> <p>252 E: Calc# of Seq. differs from actual; <: Input (A), Counted (B)></p> <p>253 E: Calc# of Bases differs from actual; <: Input (A), Counted (B)></p> <p>254 E: Number of Bases conflicts Running Total; <:Input (A), Counted (B)></p> <p>256 E: Numeric Identifier expected</p> <p>257 W: Sequence data Name/Key Feature Missing</p> <p>258 E: Mandatory Feature Missing</p> <p>259 E: Field exceeds allowed number of lines</p> <p>270 C: Current Application Number differs</p> <p>271 C: Current Filing Date differs</p> <p>280 E: Numeric Identified already exists</p> <p>281 E: Numeric fields not Ordered</p>	<p><u>Sequence Data Messages</u></p> <p>300 W: Intentionally skipped Sequence: Sequence Id ()</p> <p>301 E: No Sequence Data was Shown</p> <p>302 E: Unknown or Misplaced Identifier</p> <p>310 E: Wrong or Missing Sequence Type</p> <p>320 E: Wrong Nucleic Acid Designator</p> <p>321 E: "t" not allowed in the RNA Sequence</p> <p>322 E: Invalid Residue in Sequence</p> <p>330 E: Wrong Amino Acid Designator</p> <p>332 E: Invalid/Missing Amino Acid Numbering</p> <p>333 E: Wrong Sequence grouping; <spacing></p> <p>334 E: Invalid Amino Acid in Coding Region</p> <p>336 E: Invalid Amino Acid Number in Coding Region</p>

<u>Numeric Header Messages</u> (continued)	<u>Sequence Data Messages</u> (continued)
282 E: Numeric Field Identifier Missing	340 E: "n" or "Xaa" used: Feature required
283 E: Missing blank Line separator; <before this field identifier>	341 W: "n" or "Xaa" used
284 E: Blank Line not allowed; <before this field identifier>	342 E: Invalid Stop Code On Error
285 E: Invalid Journal Date: Wrong YYY-MM-DD, MMM-YYYY or Season- YYYY	344 W: Removed Stop Code On Error
286 E: Invalid Database Entry Date: Wrong YYYY-MM-DD or MMMM- YYYY	351 E: Sequence data Name/Key Feature Out-of-Range
287 E: Invalid Date; <Wrong YYY-MM- DD or MMMM-YYYY>	360 E: Sequence data overflow
288 E: Application Number is Repeated; <PRIOR APPLICATION NUMBER:>	361 E: Invalid Split Codon
289 E: Numeric Identifier Mission or Out- of-Order; <PRIOR APPLICATION NUMBER>	